



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: James G. Squyres

U.S. Serial No.: Not yet assigned

Filed: Concurrently herewith

For: **METHOD AND SYSTEM FOR COMPARISON AND EVALUATION OF INVESTMENT PORTFOLIOS**

Examiner: To be assigned

Group Art Unit: To be assigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Applicants respectfully submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in order to comply with the duty of disclosure under 37 C.F.R. § 1.56. These references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

A copy of each of the listed references is enclosed for the convenience of the Examiner.

Applicants state that no item of information contained or listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

Jonathan S. Caplan

Reg. No. 38,094

John W. Kung

Reg. No. 44,199

Kramer Levin Naftalis & Frankel LLP

919 Third Avenue

New York, N.Y. 10022

(212) 715-9100

Date: July 6, 2001

**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 099782.00001 SERIAL NO. To be assigned  
 APPLICANT: James Squyres ART UNIT: To be assigned  
 FILING DATE: Concurrently herewith

**U.S. PATENT DOCUMENTS**

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>
	5,270,922		Higgins		
	5,414,838		Kolton et al.		
	5,590,325		Kolton et al.		
	5,689,651		Lozman		
	5,880,726		Takiguchi et al.		
	5,893,079		Cwenar		
	5,913,202		Motoyama		
	5,930,774		Chennault		
	5,946,666		Nevo et al.		
	5,983,203		Church et al.		
	6,012,042		Black et al.		
	6,021,397		Jones et al.		
	6,049,783		Segal et al.		
	6,122,635		Burakoff et al.		
	6,175,824		Bretizman et al.		
	6,195,647		Martyn et al.		

**FOREIGN PATENT DOCUMENTS**

<u>*EXAMINER</u> <u>INITIALS</u>	<u>DOCUMENT</u> <u>NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS/SUB</u>	<u>TRANSLATION</u> <u>YES/NO</u>
-------------------------------------	----------------------------------	-------------	----------------	------------------	-------------------------------------

**OTHER REFERENCES**  
**(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)**

---



---



---

EXAMINER: \_\_\_\_\_ DATE CONSIDERED: \_\_\_\_\_

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.